



Office of the Inspector General

Information Guide





Table of Contents

Purpose	4
AOC OIG Mission and Vision	4
What We Do	5
Definitions	5
OIG Authorities	7
Office of Inspector General Organizational Chart	7
OIG Work Products	8
Audits, Inspections & Evaluations, and Follow up Evaluations	9
Audit and Evaluation Process	9
Recommendation Response	10
Investigations	11
Investigations Process	13
Fraud Awareness and Reporting	13
AOC OIG Independent Hotline	14
Fraud, Waste and Abuse: Don't Accept It – Do Something About It!	14

Purpose

This Information Guide provides Congress, the Architect of the Capitol (AOC) workforce, contractors, and the public with insight on the AOC Office of Inspector General (OIG). The OIG works in collaboration and partnership with the AOC to prevent and detect fraud, waste, abuse, and mismanagement, and to improve the efficiency and effectiveness of the entire organization.

This guide is intended to strengthen that partnership through an increased understanding of who we are, what we do and why we do it in accordance with legal

authorities and best practices. It also summarizes OIG authorities, divisions, and work products, as well as provides a flow chart of how we conduct our work and how and when we interact with the AOC.

The OIG is a neutral, independent office with a dual reporting requirement to both the AOC and to Congress. We follow AOC orders unless doing so would impact our independence.

The OIG is a member of the Council of Inspectors General for Integrity and Efficiency (CIGIE).

AOC OIG Mission and Vision

Vision

The OIG is a high-performing team, promoting positive change and striving for continuous improvement in Architect of the Capitol programs and operations. We foster an environment that inspires AOC workforce trust and confidence in our work.

Mission

The Office of Inspector General promotes efficiency and effectiveness, and economy to deter and prevent fraud, waste, abuse, and mismanagement in AOC programs and operations. We do this through value-added, transparent, impactful, and independent audits, inspections and evaluations, and investigations. We strive to positively affect the AOC and benefit the taxpayer while keeping the AOC and Congress fully informed.

AOC OIG reports are published to www.oversight.gov.

What We Do

The OIG's mission is to prevent fraud, waste and abuse. We accomplish our mission by:

- Conducting, supervising, and coordinating audits, inspections and evaluations (I&E), and investigations relating to AOC programs and operations.
- Reviewing existing and proposed legislation and regulations that impact AOC programs and operations and noting potential impacts to the economy, efficiency, or the prevention and detection of fraud, waste and/or abuse.
- Recommending policies for AOC activities to promote economy and efficiency or to prevent and detect fraud and abuse in its programs and operations.
- Providing a means of keeping the Architect of the Capitol and Congress fully informed about problems and deficiencies relating to the administration of AOC programs and operations and the need for and progress of corrective action.
 - Issuing Semiannual Reports to Congress
 - Holding regular meetings with stakeholder committees
- Providing workforce training and education.

Definitions

Fraud Any intentional deception designed to deprive the AOC unlawfully of something of value or to secure from the AOC a benefit, privilege, allowance, or consideration to which they are not entitled
i.e., falsifying timesheets, misapplying funds, stealing government funds or property, making false statements, falsifying documents to conceal illegal activity, overcharging contracts.

Waste The intentional or unintentional, careless, or needless expenditure of AOC funds, or the consumption of AOC property that results from deficient practices, systems, controls, or decisions
i.e., purchasing unneeded supplies or equipment, purchasing goods at inflated prices, failing to reuse or recycle major resources.

Abuse The intentional or improper use of AOC resources that can include the excessive or improper use of one's position, in a manner contrary to its rightful or legally intended use
i.e., creating unnecessary overtime, requesting staff perform personal errands or work tasks for a supervisor, misusing the official's position for personal gain, making procurement or travel choices that are contrary to policies or are unnecessarily extravagant or expensive.



OIG Authorities

The OIG operates under AOC Order 40-1: *Authority and Responsibilities of the Office of Inspector General and Cooperation of Architect of the Capitol Employees* (March 12, 2019).

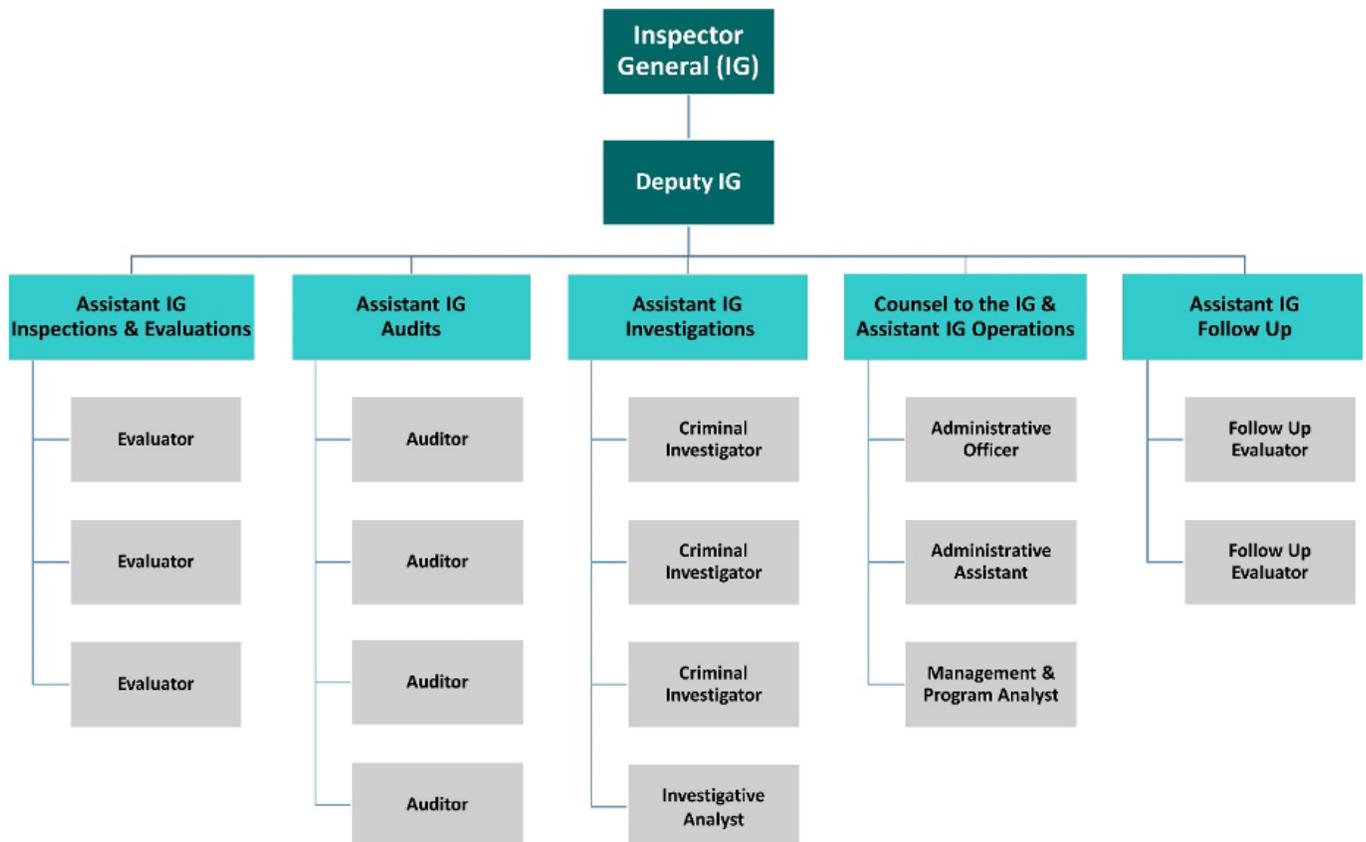
The AOC Inspector General (IG) Act of 2007, 2 U.S.C. § 1808, establishes the OIG as an independent, objective office within the AOC and applies to the AOC certain sections of the IG Act of 1978, as amended, that details the IG's duties and authorities and establishes employee protections from retaliation for contacting the OIG or participating in OIG activities.

Inspector General Act of 1978 (IG Act), Pub. L. 95-452, establishes federal IGs, notes dual reporting requirements to agency and congress, and mandates semiannual reporting requirements.

The Inspector General Empowerment Act of 2016, Pub. L. No. 114-317, dictates that a request from an OIG for documentation regarding agency programs and operations means all documents.

The Legislative Branch Inspectors General Independence Act of 2019, 2 U.S.C. § 1603, provides statutory law enforcement authorities for named IGs.

Office of Inspector General Organizational Chart



OIG Work Products

Audit	Results of compliance, performance, and controls of a program or process
Evaluation	Reviews of programs and operations using best practices and objective criteria to determine efficiency, effectiveness, economies, and/or follow-up
Inspection	Reviews determine compliance with a law or policy or other criteria
Follow-up Evaluation	Reviews corrective actions implemented by AOC management from previous AOC OIG audits, evaluations, and investigations recommendations to assess whether corrective actions are complete, efficient, effective, and address the original condition.
Investigation	Reports on allegations of violation of policy or civil/criminal statute
Management Advisory or Flash Report	Reports on specific gaps, trends or weaknesses in controls observed during OIG work - may contain recommendations which may or may not require AOC concurrence
Notice of Concern	Reports on specific safety or security issues observed during OIG work - provided to AOC management for immediate action deemed appropriate
Semiannual Report to Congress	Summation of all OIG products and figures reported to AOC and Congress on semiannual basis



Audits, Inspections & Evaluations, and Follow Up Evaluations

What's the Difference?

- Audits usually examine internal controls and compliance
- Inspections & Evaluations usually examine conditions or process improvement
- Follow-up Evaluations analyze AOC corrective actions to previous AOC OIG recommendations and act as a tool for OIG continuous learning
- All:
 - Reflect independence, objectivity, credibility, and are supported by evidence
 - Examine effectiveness, efficiency, and economies
 - Use reputable standards and best practices
 - Improve stakeholder understanding and decision making
 - Prepare annual plans based on:
 - Congressional requests and mandates
 - Identified risk to the AOC
 - Hotline complaints and referrals
 - OIG identified trends and significance

Audit & Evaluation Process



Intake

- Topic identified
- Develop scope, objectives and methodology
- Assign staff
- Open project number

Planning & Research

- Identify scope, objective and methodology
- Identify resources (i.e., policies, standards, AOC points of contact, previous reporting) and begin coordination
- Issue Announcement Memo and Request for Information

- Hold Entrance Conference with AOC management to discuss project objective, scope, methodology, roles and responsibilities, expectations and timeline

Fieldwork

- Conduct interviews
- Collect and document evidence
- Test, analyze and adjudicate evidence
- Issue Notice of Findings/Recommendations (NFR) to jurisdiction/Office of Primary Responsibility (OPR)/AOC, as identified, for comment as issues arise

Reporting

- Issue Discussion Draft Report to jurisdiction/OPR for comment (adjudicate comments)
- Hold Informal Exit Conference with jurisdiction/OPR, as needed, for discussion on findings and recommendations
- Issue Official Draft Report to AOC for official comment (adjudicate comments and redactions, as applicable), and request Corrective Action Plan (CAP)
- Hold Exit Conference with Architect of the Capitol to brief results and recommendations
- Distribute final report to the AOC and Congressional Stakeholders
- Publish final report to <https://aocoig.oversight.gov/>

Closeout

- Maintain and update recommendations tracker and follow-up on CAP at prescribed intervals
- Prepare report highlights for inclusion in Semiannual Report to Congress

Recommendation Response

Once the OIG makes a recommendation to the AOC, coordination of roles between the OIG and the AOC are listed below with the intent to eventually close the recommendation and effect change within AOC programs and operations. Recommendations can be made within most OIG engagements to include audits, inspections and evaluations, follow-up evaluations,

investigations, management advisories, flash reports, or notices of concern. All recommendations are intended to address the cause of the issue and bring the program or operation in line with the criteria already set forth or best practices for criteria. Criteria are considered the statute or policy or guidance or process identified to align to the issue.

- AOC Roles and Responsibilities
 - Concur with OIG Recommendation(s):
 - AOC develops CAP
 - Develop plan to address recommendation
 - Identify responsible party
 - Provide status and timetable for completion to OIG
 - Non-concur with OIG Recommendation(s):
 - Provide justification and evidence for nonconcurrency
- OIG Roles and Responsibilities
 - Issue Recommendations and maintain status based on supporting evidence:
 - Report as:
 - Closed
 - A recommendation is closed only after AOC has agreed with the recommendation, takes appropriate corrective action, and provides OIG with sufficient supporting evidence to demonstrate action was taken.
 - Resolved
 - AOC has agreed to implement the recommendation and has proposed a CAP that will address the recommendation.
 - Unresolved
 - Those recommendations on which the OIG and AOC have not reached agreement on the recommendation, the corrective action, or both.
 - If Resolved or Unresolved
 - Request and monitor AOC-developed CAP, as applicable
 - Ensure sufficiency and applicability of AOC-provided evidence to address cause
 - Check-in at prescribed times

Investigations

OIG is authorized to receive allegations of violations of law or misconduct regarding fraud, waste, abuse, or mismanagement in AOC programs, operations or contracts, and has jurisdiction over AOC programs, employees and contractors.

- Criminal violations are reported to the Department of Justice or state or local entity for adjudication
- Administrative violations (violation of policy) are reported to AOC leadership for action
- Investigations are conducted in accordance with quality standards
- The OIG operates an independent hotline for complaint intake
- Only the OIG as the authority to release investigative reports outside of the AOC
 - Investigative reports may not be released by AOC management without prior written consent of the OIG and appropriate redaction, as necessary, approved by the Counsel to the IG

Examples of what the AOC OIG may investigate:

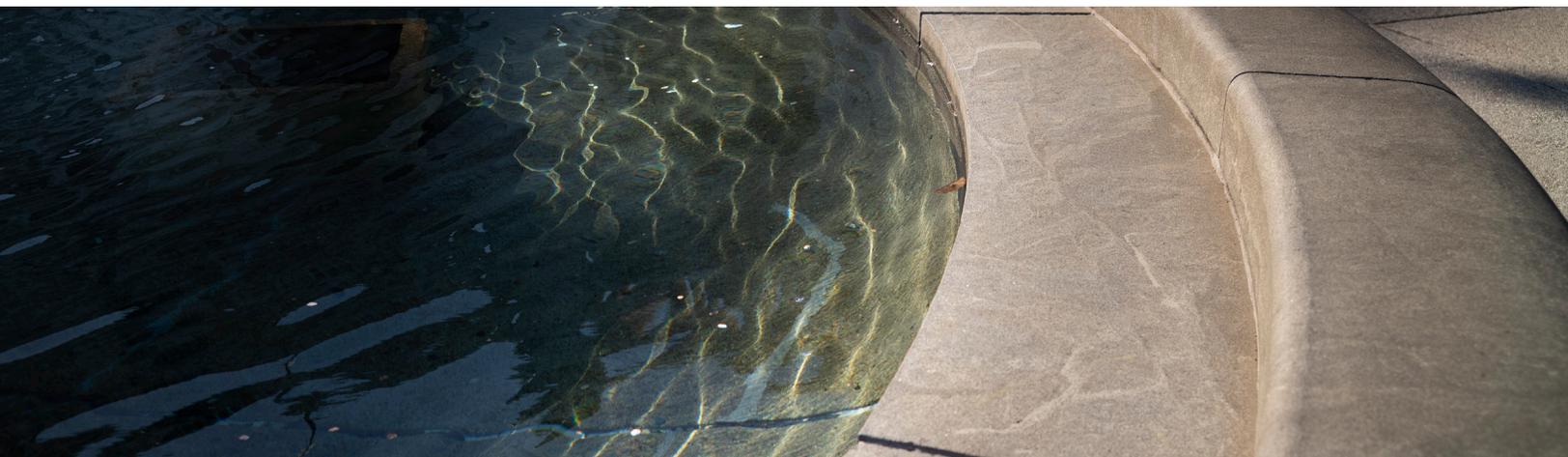
- Violations of federal law or AOC policy
- Waste of government funds or property
- Improper use of AOC resources or property
- Reprisal for providing information to the AOC OIG or other official entity
- Contractor product substitution
- Travel or purchase card fraud
- Bribes, kickbacks, bid-rigging
- Theft of government property
- Time & Attendance fraud
- Contractor false claims

Referrals to AOC Management may include:

- Equal employment opportunity/diversity issues
- Employee benefits and compensation issues
- Discrimination or management retaliation
- Individual conflicts with a supervisor
- Safety violations

The Investigations Division has five work categories:

- Contact (INVCT)
 - Information of person or event documented internally for future reference that may include future work or trend analysis
- Complaint (INVC)
 - Allegation regarding AOC program, operation or person under AOC authorities
 - Triaged and tested
- Investigation (INVI)
 - Based on violations identified while reviewing a complaint
 - Can be criminal, civil and/or administrative in nature
- Referral (INVR)
 - Referred for action outside OIG authorities
 - To AOC management
 - To other law enforcement partner
 - To prosecutorial entity
- Proactive Investigation (INVPRO)
 - A self-generated review of a trend-identified issue or programmatic analysis that may lead to “spin-off” investigations if violations are identified





Investigations Process



Intake

- Receipt of complaint (congressional, hotline, complaint/walk-in, follow-up, referral, self-initiated)
- Assign team
- Open project number

Planning & Testing

- Draft investigative plan
- Identify resources (i.e., policies, standards, legal, personnel, previous investigations)
- Issue Notice of Complaint to jurisdiction (if applicable and at the IG's discretion)
- Triage complaint and test (refer if applicable)
- Issue Notice of Investigation to Architect of the Capitol (if applicable and at the IG's discretion)

Coordination

- Coordinate with AOC jurisdiction/office and OGC (as necessary)
- Coordinate with U.S. Attorney's Office for criminal issues (as necessary)
- Coordinate with other OIG or federal investigative entities (as necessary)
- Coordinate with state or local investigative entities (as necessary)

Fieldwork

- Conduct Interviews and surveillance (as applicable)
- Collect and document evidence
- Analyze and adjudicate evidence

Prosecution (if applicable)

- Assist U.S. Attorney's Office or state or local entities to pursue criminal and/or civil prosecution

Reporting

- Issue Report of Investigation (ROI)
 - Adjudicated as substantiated or non-substantiated based on preponderance of the evidence for administrative matters
 - Notice to Close Complaint
- Brief ROI Findings (as requested)

Follow-up

- Publish ROI Summary to oversight.gov
- Maintain and update suspense dates for AOC actions taken (i.e., personnel actions)
- Prepare report highlights for inclusion in Semiannual Report to Congress

Fraud Awareness and Reporting

AOC annual training is mandatory for every employee. It is available on the AOC's online training portal and covers:

- Employee Role in Preventing and Reporting
 - Fraud
 - Waste
 - Abuse
- Contract Fraud
- False Claims Act

- Workers' Compensation
- Time & Attendance Fraud

It is a violation of 18 U.S.C. § 1519 to, "alter, destroy, mutilate, conceal, cover up, falsify, or make a false entry in any record, document, or tangible object with the intent to impede, obstruct or influence the investigation..." Violators are subject to fine and up to 20 years in prison.

AOC OIG Independent Hotline



(877) 489-8583



[Oversight.gov](https://www.oversight.gov)



(202) 593-1948



[AOCOIG.Oversight.gov](https://www.aocoig.oversight.gov)



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[AOC.gov](https://www.aoc.gov)

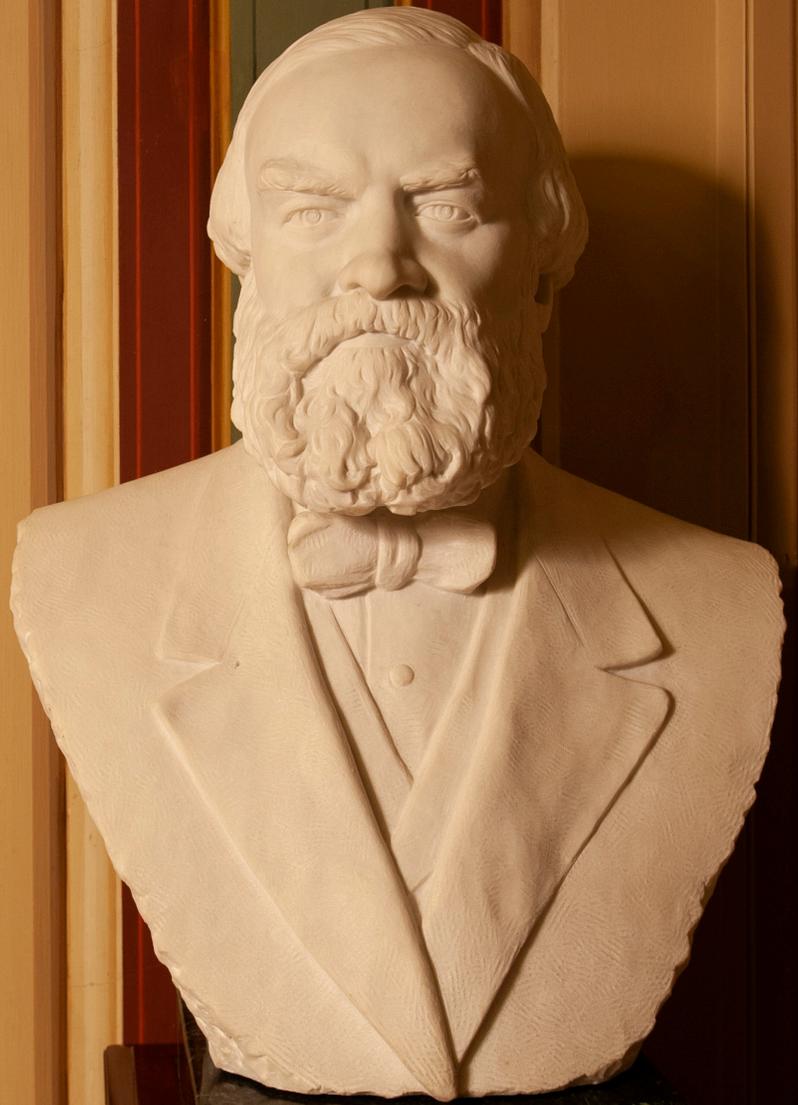
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Freedom of Information Act (FOIA)

The AOC is excluded from the Freedom of Information Act of 1966, as amended; therefore, the AOC OIG is not subject to FOIA.

Whistleblower Protections

AOC employees are not covered under the Whistleblower Protection Act of 1989, as amended; however, they do have protections against reprisal under the Congressional Accountability Act of 1995, as amended.



C. BRUMIDI

